



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Ward *et al.*

Appl. No. 10/783,563

Filed: February 23, 2004

For: **Phase Locked Loop** (As Amended)

Confirmation No. 7562

Art Unit: 2817

Examiner: Mis, David C.

Atty. Docket: 1875.095000I

Information Disclosure Statement

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
 - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign

patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p).

☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three

months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below in accordance with 37 C.F.R. § 1.98(a)(3).
- ☒ 7. In accordance with 37 C.F.R. § 1.98(a)(2), no copies of U.S. patents and patent application publications cited on the attached Form PTO-1449 are submitted.
- ☒ 8. Copies of documents AA1-AR1, AA2-AO2, AA3-AE3, AJ3-AM3, and AJ4 were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. 09/438,689, filed November 12, 1999 (now U.S.

Pat. No. 6,696,8989), which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

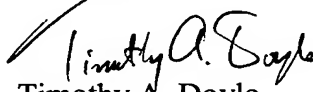
- ☒ 9. It is expected that the examiner will review the prosecution and cited art in the parent Application No. 09/438,689, filed November 12, 1999 (now U.S. Pat. No. 6,696,8989) in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution history has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed Form PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.


Timothy A. Doyle
Attorney for Applicants
Registration No. 51,262

Date: 5 APR 05

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FORM PTO-1449

INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.
1875.0950001APPLICATION NO.
10/783,563FIRST NAMED INVENTOR
Christopher WardFILING DATE
February 23, 2004ART UNIT
2817

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	3,824,491	07/1974	Treadway			
	AB1	4,141,209	02/1979	Barnett <i>et al.</i>			
	AC1	4,190,808	02/1980	Fajen			
	AD1	4,211,975	07/1980	Kuroda			
	AE1	4,353,039	10/1982	Huntley			
	AF1	4,789,976	12/1998	Fujishima			
	AG1	4,818,903	04/1989	Kawano			
	AH1	4,903,329	02/1990	Marik <i>et al.</i>			
	AI1	5,006,727	04/1991	Rogosch <i>et al.</i>			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ1	GB 2 058 505 A	04/1981	GB			N/A
	AK1	EP 0 133 618 A1	03/1985	EP			N/A
	AL1	EP 0 365 085	04/1990	EP			N/A
	AM1	EP 0 393 717 A2	10/1990	EP			N/A

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AN	1	Poole <i>et al.</i> , "A CMOS Subscriber Line Audio Processing Circuit Including Adaptive Balance," <i>IEEE International Symposium on Circuits and Systems</i> , Finland, Espoo, Volume 2 of 3, June 7-9, 1988, pp. 1931-1934.
	AO	1	Poole, S., Surace, G., Singh, B., Dyer, N., "A CMOS Subscriber Line Audio Processing Circuit Including Adaptive Balance," <i>IEEE International Symposium on Circuits and Systems</i> , Finland, Espoo, vol. 2 of 3, Jun. 7-9, 1988, pp. 1931-1934.
	AP	1	Gilbert, B., "A Low-Noise Wideband Variable-Gain Amplifier Using an Interpolated Ladder Attenuator," <i>1991 IEEE International Solid State Circuits Conference Digest of Technical Papers</i> , pp. 280, 281 and 330 (February 1991).
	AQ	1	Leung, L.H.Y. and Buchwald, A., "10-MHz 60-dB Dynamic-Range 6-dB Variable Gain Amplifier," <i>Proceedings of 1997 IEEE International Symposium on Circuits and Systems</i> , pp. 173-176 (June 9-12, 1997).
	AR	1	International Search Report from PCT Appl. No. PCT/US99/26700, filed Nov. 12, 1999, 14 pages (mailed Jan. 10, 2001).

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT				ATTY. DOCKET NO. 1875.0950001		APPLICATION NO. 10/783,563	
				FIRST NAMED INVENTOR Christopher Ward			
				FILING DATE February 23, 2004		ART UNIT 2817	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2	5,031,233	07/1991	Regan			
	AB2	5,077,541	12/1991	Gilbert			
	AC2	5,200,826	04/1993	Seong			
	AD2	5,251,324	10/1993	McMullan, Jr.			
	AE2	5,311,318	05/1994	Dobrovolsky			
	AF2	5,423,076	06/1995	Westergren <i>et al.</i>			
	AG2	5,428,829	06/1995	Osburn <i>et al.</i>			
	AH2	5,581,213	12/1996	Linder <i>et al.</i>			
	AI2	5,587,688	12/1996	Mulbrook			
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ2	EP 0 431 887	06/1991	Europe			N/A
	AK2	EP 0 629 040 A1	12/1994	Europe			N/A
	AL2	DE 195 06 324 C1	10/1995	Germany			No
	AM2	EP 0 767 532 A1	10/1996	Europe			N/A
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
	AN	2	International Preliminary Examination Report from PCT Appl. No. PCT/US99/26700, filed Nov. 12, 1999, 29 pages (mailed Mar. 8, 2001).				
	AO	2	Examination Report from European Appl. No. 99965786.9, filed Nov. 12, 1999, 4 pages (dated Jun. 21, 2002).				
	AP						
	AQ						
	AR						
EXAMINER					DATE CONSIDERED		
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	FIRST NAMED INVENTOR Christopher Ward	
	FILING DATE February 23, 2004	ART UNIT 2817

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA3	5,630,214	05/1997	Yamamoto <i>et al.</i>			
	AB3	5,715,012	02/1998	Patel <i>et al.</i>			
	AC3	5,737,035	04/1998	Rotzoll			
	AD3	5,757,220	05/1998	Murden <i>et al.</i>			
	AE3	5,828,589	10/1998	Degenhardt			
	AF3	6,696,898 B1	02/2004	Ward <i>et al.</i>			
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ3	WO 97/09786	03/1997	PCT			N/A
	AK3	WO 97/32393	09/1997	PCT			N/A
	AL3	EP 0 803 977 A2&A3	10/1997	Europe			N/A
	AM3	DE 37 23 778 A1	01/1998	Germany			No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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	AO		
	AP		
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	AR		

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	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ4	WO 98/47237 A1	10/1998	PCT			N/A
	AK						Yes No
	AL						Yes No
	AM						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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	AP		
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